

**APPENDIX A. U.S. DEPARTMENT OF ENERGY COVER PAGE FOR
SMALL BUSINESS INNOVATION RESEARCH (SBIR) AND
SMALL BUSINESS TECHNOLOGY TRANSFER (STTR) PROGRAMS**

SOLICITATION NO. DOE/SC-0039

DOE
USE
ONLY

- 02 - I

NOTICE FOR HANDLING GRANT APPLICATIONS. This submission is to be used only for DOE evaluation purposes. All government and non-Government personnel handling this submission shall exercise extreme care to ensure that the information contained herein is not duplicated, used, or disclosed in whole or in part for any purpose other than to evaluate the submission, without the written permission of the offeror (except that if a grant is awarded on the basis of this submission, the terms of the grant shall control disclosure and use). This is a Government notice, and shall not by itself be construed to impose any liability upon the Government or Government personnel for any disclosure or use of data contained in this submission.

PROJECT			
TITLE:		Topic No. (1-45):	Subtopic (a-d):
		Amount Requested (not to exceed \$100,000):	\$
SMALL BUSINESS			
FIRM NAME:	I.R.S Entity Identification or SSN:	ADDRESS:	
		CITY:	STATE: ZIP
Principal Investigator (See Requirements in Sec. 1.5) Indicate Mr., Mrs., Ms., Dr.		Corporate/Business Authorized Representatives Indicate Mr., Mrs., Ms., Dr.	
Title:	Phone Number:	Title:	Phone Number:
E:mail address:		E:mail address:	
Certification and Acceptance: I certify that the statements herein are true and complete to the best of my knowledge, and accept the obligation to comply with DOE terms and conditions if an award is made as the result of this submission. A willfully false certification is a criminal offense. (U.S. Code, Title 18, Section 1001)			
Signature:		Signature:	
Date:		Date:	
RESEARCH INSTITUTION			
Check YES or NO: This grant application contains substantial collaboration with a research institution (see definition Sec. 2.8 and Sec. 1.5.3). ? YES ? NO Check one: This application should be considered for: ? SBIR only. ? STTR only. ? both SBIR and STTR.		NAME OF RESEARCH INSTITUTION:	\$ _____ Amount of Subcontract
		ADDRESS:	
		CITY:	STATE: ZIP
		Certifying Official: Indicate Mr., Mrs., Ms., Dr.	
		Title:	Phone Number:
		E:mail address:	
		Certification: If this grant application is selected for award, I certify that the above research institution will conduct the work herein attributed to it.	
		Signature:	
		Date:	
OTHER SUBCONTRACTORS: INDICATE NAME AND DOLLAR AMOUNT			
CERTIFICATIONS AND QUESTIONS: ANSWER Y (YES) OR N (NO)			
? 1. The above applicant organization certifies that it is a small business and meets the definition stated in Section 2.3. ? 2. The applicant small business will comply with the provisions regarding: (1) lobbying, (2) debarment, suspension, and other responsibility matters, and (3) drug-free workplace requirements. (See Certifications Section.) Inability to certify to any or all statements requires explanation. ? 3. The Principal Investigator will have his/her primary employment with the small business at the time of award (see Section 1.5.2).		? 4. Has the firm and/or Principal Investigator submitted proposals containing a significant amount of essentially equivalent work under other federal program solicitations, or received other federal awards containing a significant amount of essentially equivalent work? If "yes", the application must include the required information requested in Section 3.3.4. ? 5. Is the small business delinquent on any Federal debt? (If "yes," please attach an explanation.) ? 6. If the proposed project does not result in an award, does the applicant permit the government to disclose the technical abstract of the application, and the name, address, and telephone of the business official to any inquiring parties?	

PROPRIETARY NOTICE (SECTION 5.4) For any purpose other than to evaluate this submission, these data shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed in whole or in part, provided that if a grant is awarded to this applicant as a result of or in connection with the submission of these data. The Government shall have the right to duplicate, use, or disclose the data to the extent provided in the grant. This restriction does not limit the Government's right to use information contained in the data if it is obtained from another source without restriction. The data in this submission subject to this restriction are contained on pages _____